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**DECLARATION FOR UTILITY OR  
DESIGN  
PATENT APPLICATION  
(37 CFR 1.63)**



Declaration  
Submitted  
with Initial  
Filing

OR



Declaration  
Submitted after Initial  
Filing (surcharge  
(37 CFR 1.16 (e))  
required)

Attorney Docket Number

UCB-6(B01-108)

First Named Inventor

Constantine P. GRIGOROPOULOS

**COMPLETE IF KNOWN**

Application Number

10/621,046

Filing Date

07/16/2003

Art Unit

Examiner Name

As the below named inventor, I hereby declare that:

My residence, mailing address, and citizenship are as stated below next to my name.

I believe I am the original and first inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled:

METHOD FOR PRODUCING A STRUCTURE USING NANOPARTICLES

(Title of the Invention)

the specification of which



is attached hereto

OR



was filed on (MM/DD/YYYY)

07/16/2003

as United States Application Number or PCT International

Application Number

10/621,046

and was amended on (MM/DD/YYYY)

(if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				YES	NO
EP 1 223 615 A1		01/10/2001	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:

[Page 1 of 2]

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## DECLARATION — Utility or Design Patent Application

Direct all correspondence to: ☒ Customer Number or Bar Code Label **007265** OR ☐ Correspondence address below

Name

Address

City

State

ZIP

Country

Telephone

Fax

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

NAME OF SOLE OR FIRST INVENTOR : ☐ A petition has been filed for this unsigned inventor

Given Name Constantine P.  
(first and middle [if any])

Family Name GRIGOROPOULOS  
or Surname

Inventor's  
Signature

Date

Berkeley

CA

USA

USA

Residence: City

State

Country

Citizenship

69 Fairlawn Drive

Mailing Address

Berkeley

CA

94708

USA

City

State

ZIP

Country

NAME OF SECOND INVENTOR: ☐ A petition has been filed for this unsigned inventor

Given Name Nicole Renee  
(first and middle [if any])

Family Name BIERI  
or Surname

Inventor's  
Signature

Date

Zurich

State

Switzerland

Switzerland

Residence: City

Country

Citizenship

Pflugstrasse 4

Mailing Address

Zurich

State

8006

Switzerland

City

ZIP

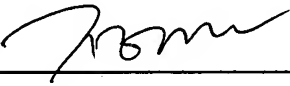
Country

☒ Additional inventors are being named on the 1 supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.

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**DECLARATION****ADDITIONAL INVENTOR(S)**  
Supplemental Sheet

Page 1 of 1

<b>Name of Additional Joint Inventor, if any:</b>		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Dimos		POULIKAKOS	
Inventor's Signature		Date	
Zollikon Residence: City	State	Switzerland Country	USA Citizenship
Lenzenwiesstrasse 1A Mailing Address			
Mailing Address			
Zollikon City	State	8702 Zip	Switzerland Country
<b>Name of Additional Joint Inventor, if any:</b>		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Jaewon		CHUNG	
Inventor's Signature 		Date 12/17/2003	
Albany Residence: City	CA State	USA Country	South Korea Citizenship
1110 Jackson Street, #924 Mailing Address			
Mailing Address			
Albany City	CA State	94706 Zip	USA Country
<b>Name of Additional Joint Inventor, if any:</b>		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Inventor's Signature		Date	
Residence: City	State	Country	Citizenship
Mailing Address			
Mailing Address			
City	State	Zip	Country

This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 21 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



**PATENT**

Attorney Docket No.: UCB-6(B01-108)

Applicant: The Regents of the University of California

Serial No.: 10/621,046

Filed: July 16, 2003

For: METHOD FOR PRODUCING A STRUCTURE USING NANOPARTICLES

Group:

Examiner:

**POWER OF ATTORNEY BY ASSIGNEE  
AND EXCLUSION OF INVENTOR(S) UNDER 37 C.F.R. 3.71**

Dear Sir:

The undersigned assignee of the entire interest in the above-identified subject application hereby appoints George Wolken, Jr. and Peter L. Michaelson, Reg. No. 30,441 and 30,090 (respectively) as its attorney to prosecute this application and to transact all business in the United States Patent and Trademark Office connected therewith, said appointment to be to the exclusion of the inventors and their attorney(s) in accordance with the provisions of 37 C.F.R. 3.71.

An assignment of the entire interest in the above-identified subject application:

☐ was recorded on \_\_\_\_\_ at reel/frame \_\_\_\_\_.

☒ is submitted herewith for recording.

Please direct all telephone calls to George Wolken, Jr. at 408-567-0340 and  
all correspondence relative to said application to the following address:

MICHAELSON & ASSOCIATES  
Parkway 109 Office Center  
328 Newman Springs Road  
P.O. Box 8489  
Red Bank, New Jersey 07701

Dated: 12/12/03

ASSIGNEE: THE REGENTS OF THE UNIVERSITY OF CALIFORNIA

Signature: Carol Mimura

Typed Name: Carol Mimura, Ph.D.

Title: Director

Office of Technology Licensing  
2150 Shattuck Ave., Suite 510  
Berkeley, CA 94720-1620

Atty. Doc. No.: UCB-6(B01-108)

**DECLARATION AND  
POWER OF ATTORNEY**  
(Utility Patent Application)

As a below named inventor, I hereby declare:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below), of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**METHOD FOR PRODUCING A STRUCTURE USING NANOPARTICLES**

the specification of which:

\_\_\_ is attached hereto  
XX was filed on July 16, 2003 as Application Serial  
No. 10/621,046 with amendment(s) filed \_\_\_\_\_  
\_\_\_ was filed as PCT international application:  
serial number \_\_\_\_\_ on \_\_\_\_\_  
and was amended under PCT Article 19 on \_\_\_\_\_

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the patentability of this application in accordance with Title 37, Code of Federal Regulations section 1.56.

I hereby claim foreign priority benefits under Section 119 of Title 35, United States Code for the above-identified US patent application based on the patent or inventor's certificate identified below and having a filing date before that of the US patent application for which priority is claimed:

<u>Application No</u>	<u>Country</u>	<u>Filing Date</u>	<u>Priority Claimed under 35 USC 119</u>
EP 1 223 615 A1		1/10/2001	no

I hereby claim the benefit under Section 120 and/or Section 119(e) of Title 35 of the United States Code of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by Section 112 of Title 35 of the United States Code, I acknowledge the duty to disclose material information, as defined in Section 1.56 of Title 37 of the Code of Federal Regulations, which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

<u>Application Serial No.</u>	<u>Filing Date</u>	<u>Status</u>
		<u>Patented Pending Abandoned</u>
none		

Power of attorney:

As a named inventor, I hereby appoint:

Peter L. Michaelson (Reg. No. 30,090)  
George Wolken, Jr. (Reg. No. 30,441)

as my attorneys to prosecute this application and to transact all business in the United States Patent and Trademark Office in connection therewith.

Direct all correspondence to Customer Number 007265 at the following address:

MICHAELSON & ASSOCIATES  
Parkway 109 Office Center  
328 Newman Springs Road  
P.O. Box 8489  
Red Bank, New Jersey 07701.

Direct all telephone calls to: (408) 567-0340.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

First inventor:

Full name: GRIGOROPOULOS Constantine P.  
last first middle

Residence address: 69 Fairlawn Drive  
street  
Berkeley, CA 94708 USA  
city, state, zip code country

Post Office address: same  
post office & box number  
city, state, zip code country

Citizenship: USA  
country

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Second inventor:

Full name: BIERI Nicole Renée  
last first middle

Residence address: Pflugstrasse 4  
street  
8006 Zurich Switzerland  
city, state, zip code country

Post Office address: same  
post office & box number  
city, state, zip code country

Citizenship: Switzerland  
country

Signature: *MBieri*

Date: 12/12/2003



I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Third inventor:

Full name: POULIKAKOS Dimos   
last first middle

Residence address: Lenzenwiesstrasse 1A  
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8702 Zollikon Switzerland  
city, state, zip code country

Post Office address: same  
post office & box number  
   
city, state, zip code country

Citizenship: USA  
country

Signature: 

Date: 17/12/2003

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Fourth inventor:

Full name: CHUNG Jaewon  
last first middle

Residence address: 1110 Jackson Street, #924  
street  
Albany, CA 94706 USA  
city, state, zip code country

Post Office address: same  
post office & box number  
city, state, zip code country

Citizenship: South Korea  
country

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

(u6dec-ethz/ksb/8)